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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/600,712

06/23/2003

Michael Francis Dube

030627/368590

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7590

01/21/2010

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EXAMINER

FELTON, MICHAEL J

ART UNIT

PAPER NUMBER

1791

MAIL DATE

DELIVERY MODE

01/21/2010

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/600,712	Applicant(s) DUBE ET AL.	
	Examiner MICHAEL J. FELTON	Art Unit 1791	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 11/10/09.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 61-64, 67, 68, 70-84 and 86-99 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 61-64, 67, 68, 70-84 and 86-99 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 20 November 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Arguments

1. Applicant's arguments with respect to claims 61-65, 67, 68, 70-84, and 86-99 have been considered but are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 USC § 103

2. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

3. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

4. Claims 61-64, 67, 68, 70-84, and 86-99 are rejected under 35 U.S.C. 103(a) as being unpatentable over Berger (US 4,046,063) in view of Dorsey (US 5,549,124), Homburger (US 3,297,038), Irby Jr. et al. (US 3,390,686) and applicant's admitted prior art.

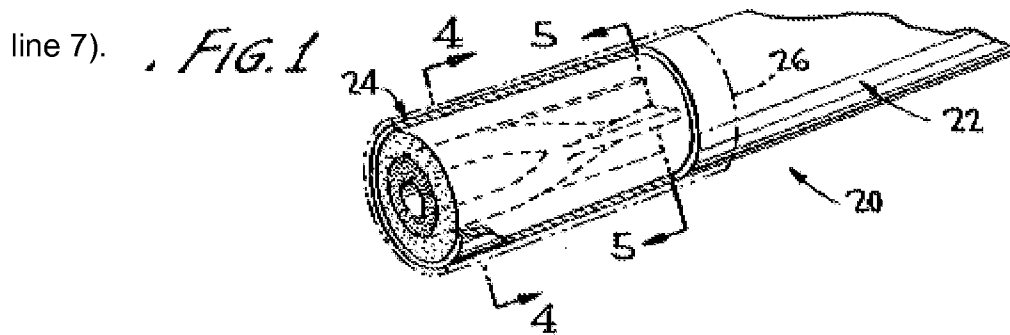
5. Regarding claim 61-64, 67, 70, 73-76, 78-84, and 86-88, Berger discloses a cigarette with a filter element that is an outer cylindrical shape and an inner filter member made from steam bonded cellulose acetate (see figure 1 below regarding shape, col. 6, 2-9 and col. 3, 34-53 regarding steam bonding and cellulose acetate).

The inner filter member has a cavity that has a cylindrical end and a conical end and on the other side of the conical end is a crimped structure in the shape of a cross. Figure 1 illustrates the open end of the cavity distal to the tobacco rod, however, Berger

discloses that it would be reasonable to reverse the orientation (col. 4, line 67--col. 5, line 7).

FIG. 1

4 5 7 26



6. Berger does not indicate expressly state that the filter incorporates cellulose acetate treated in a manner that results in the filter element being sufficiently flexible to be squeezed and return to cylindrical shape. Berger does disclose that cellulose acetate is a preferred material (col. 3, 34-53) and that the inner material is steam bonded, which is the same process used to make the material used for making the instant invention flexible. It would have been obvious to one of ordinary skill in the art at the time of invention that the material used in the invention of Berger would have been resilient due to steam bonding.

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7. Berger does not expressly disclose that plasticizers such as triacetin are used to make the cellulose acetate tow. This is conventional in the art, and, in addition, the prior art incorporated by reference in Berger discloses the use of plasticizers such as triacetin in formation of filter plugs made of cellulose acetate tow (see Berger, US 3,552,400, col. 2, 39-45). It would have been obvious to one of ordinary skill in the art that the cellulose acetate used in the invention of Berger (US 4,046,063 and 3,552,400) would have been plasticized with triacetin, and the inner member would have been steam bonded in addition (as taught by Berger, col. 6, 2-9).

8. Berger does not disclose placing a capsule in the cavity. However, placing capsules and other active agents in cavities within cigarette filters is well known in the art. For instance, Berger incorporates by reference US 3,533,416 (to Brooks and Berger), that contains adsorbents or smoke-modifying materials in a similar cavity to Berger 4,046,063. Homburger and Dorsey disclose spherical capsules located in the cavities (with voids or second regions surrounding the capsules) within filter segments that are ruptured and treat the cigarette smoke. Dorsey discloses a capsule in a cavity that contains a second region surrounding the capsule that connects to the tobacco rod and the filter element, and that when broken, releases fluid to wet the tobacco and the filter element. The wet tobacco helps filter the smoke as does the wetted filter material. Therefore, it would have been obvious to one of ordinary skill in the art at the time of invention that the capsule of Dorsey or Homburger could be used in the cavity of Berger to be wet the tobacco and filter element upon rupturing the capsule resulting in improved filtration (as taught by Dorsey, see abstract, col. 1-col. 2).

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9. Homburger and Dorsey suggest specific capsule structures, but do not suggest capsules made of a gelatin outer shell and an interior composed of an anhydrous liquid or gel and triglycerides and flavoring. However, flavor containing capsules are well known in the art. For instance, Irby Jr. et al. disclose a similar cigarette filter structure with an outer filter material, an inner filter material (figure 2; col. 4, 1-17), a cavity within the inner material that contains a generally spherical capsule composed of gelatin that contains a diluting agent (water) and flavoring, metal salts, activated charcoal (for altering smoke composition), and/or medicines (col. 3, 18-61). Irby Jr. et al. also teach that cellulose acetate tow, or other filter materials used, can be treated with a stiffening material (col. 3, 11-17) and that the filter should be resilient and return substantially to its tubular shape (col. 1, 49-55). It would have been obvious to one of ordinary skill in the art at the time of invention to use the compounds disclosed in the capsule, or the capsule of Irby Jr. et al., in the cavity of Berger. Doing so would have allowed for the delivery of flavorings, medicines (breath fresheners) or other compounds to the cigarette user as disclosed by Irby Jr. et al.

10. Irby Jr. et al. disclose one capsule structure, it would have been obvious to one of ordinary skill to use flavor containing capsules that are commercially available. The applicant states that such capsules are known in the art and are available from Mane Aromatic Flavors, Nice, France (paragraphs 0068 and 0091) and contain flavoring agents including essential oils and menthol (a breath freshening agent). It would have been obvious to one of ordinary skill in the art at the time of invention to use commercially available and known capsules in place of the flavor containing capsules

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found in Homburger and Dorsey. Replacing a known flavor capsule with another would have been obvious to one of ordinary skill and the results would have been predictable.

11. Regarding claims 90, and 96-99, Homburger, Dorsey, and Irby Jr. et al. do not teach the specific force required to break the frangible capsules. However, in all three cases the capsules were designed to be broken using the force between two fingers. This is the same force intended to be applied in the instant invention [0011]. Therefore, it would have been obvious to one of ordinary skill to adjust the force needed to break the capsules described in the prior art because it has been held that discovering an optimum value of a result effective variable involves only routine skill in the art. *In re Boesch*, 617 F.2d 272, 205 USPQ 215 (CCPA).

12. Regarding claims 68, 75, 83, and 87 Berger disclose a 2 axis and a 3 axis crimp on the inner material (see figures 1, 5, 6, and 7).

13. Regarding claim 70, the distilled water of Dorsey or the activated carbon of Homburger would alter the overall composition of mainstream smoke.

14. Regarding claim 71, Berger, Dorsey, and Homburger do not disclose sizes of the capsule or cavities, however, it would have been obvious to one of ordinary skill in the art that the capsule would need to be smaller than the diameter of the cavity within which it was to be placed, and that this diameter would also be smaller than the typical diameter of a cigarette (and hence cigarette filter). It would have been obvious that the cavity of Berger would have been about 4 mm and that a capsule to be placed in the cavity would need to be smaller than 4 mm, or about 3.5 mm. In addition, it is well

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known that different cigarettes from different manufacturers have different diameters, but they are generally less than about 8 mm.

15. Regarding claim 72, Berger (figure 1) shows the cavity occupying approximately half the length of the filter.

16. Regarding claims 77, 89, and 92-95, the applicant indicates that the tacky nature of the inner surface of the cavity is a result of the triacetin plasticizer "or other components of the filter" (paragraph 0059). Because it is well known to make filters out of cellulose acetate plasticized using triacetin as discussed in the rejection of claim 62 above, it would have been obvious that such a typical filter material would have had an inherently tacky inner surface and hold a capsule in a fixed position either through adhesion or through frictional confinement (i.e. the capsule of Dorsey cannot move as it is wedged against other surfaces).

17. Furthermore, Irby et al. expressly teaches the use of adhesives such as starches to adhere (i.e. to make sticky) the capsules to the filter material (col. 4, 1-20). It would have been obvious to one of ordinary skill in the art at the time of invention to use adhesives to make the area between the cavity and the capsule sticky (i.e. make the cavity sticky).

18. Regarding 91, the cellulose acetate disclosed by Berger is capable of adsorbing liquids.

Conclusion

19. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MICHAEL J. FELTON whose telephone number is (571)272-4805. The examiner can normally be reached on Monday to Friday, 7:30 AM to 4:30 PM EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Phillip C. Tucker can be reached on 571-272-1095. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Michael J Felton/
Examiner, Art Unit 1791

/Philip C Tucker/
Supervisory Patent Examiner, Art Unit 1791